

MANAGEMENT CAPACITY ASSESSMENT - PRELIMINARY						
No.	Question	Need to Submit	Unit	Answer	Benchmark	Critical
Administrative						
1	Does the system have a written strategic plan (mission statement, goals and objectives)?	Available for inspection	Yes/No		Yes	
2	Does the system have a defined organizational structure with a written description of each job classification with minimum position qualifications?	Available upon request	Yes/No		Yes	X
3	Does the system have a governing board that meets regularly?		Yes/No		Yes	X
4	Is the governing board provided regular and timely written information regarding technical, managerial, and financial operations of the water system?	Available for inspection	Yes/No/NA		Yes	X
5	Does the system offer continuing education opportunities for governing board members?		Yes/No/NA		Yes	
6	Does the system have a written safety policy and provide regular safety training to its employees?	Available for inspection	Yes/No		Yes	
7	Does the system have written policies and procedures governing human resource management?	Available upon request	Yes/No		Yes	X
8	Does the system have available under a current contract, retainer or other similar arrangement to professional services including engineering, accounting, and legal counsel?		Yes/No		Yes	X
9	Does the system have a written procurement policy for purchasing supplies and obtaining professional and non-professional services, including spending authority by personnel level?	Available upon request	Yes/No		Yes	X
10	Does the system have a written policy for delegation of authority such as signing agreements, contracts, resolutions, easements, etc.?	Available for inspection	Yes/No		Yes	
11	Does the system offer continuing education opportunities for distribution and plant operators?		Yes/No		Yes	
Planning						
12	Does the system have a plan to address pending and current regulatory requirement, growth, infrastructure renewal, and system deficiencies	Available for inspection	Yes/No		Yes	X
13	If system's average day demand (including volume of water specified through contracts) exceeds 85 percent of available capacity or water available through purchase contract, does system have a plan for additional capacity, including cost and timeframes, to address the needed additional capacity? <i>(see COW to determine if this needs to be asked)</i>		Yes/No		Yes	X
14	Does the system have an updated emergency response plan, which is reviewed annually?	Available for inspection	Yes/No		Yes	X
15	Does the system have an updated water shortage response plan?	Available for inspection	Yes/No		Yes	X

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16	Does the system periodically review its insurance coverage is in place for liability, property, automobile, directors, and officers?		Yes/No		Yes	
17	Does the system have standard specifications for design and construction of the water distribution system?	Available for inspection	Yes/No		Yes	X
Operating						
18	Does the system have a written program for regular testing of water meters including raw water, distributed, and customer?	Available for inspection	Yes/No		Yes	
19	Does the system have a written program for exercising distribution system valves?	Available for inspection	Yes/No		Yes	
20	Does the system track lost water on a regular basis?	Available upon request	Yes/No		Yes	X
21	Does the system have a map of distribution assets?	Available for inspection	Yes/No		Yes	X
22	Does the system have a program for flushing water mains in accordance with KAR 8:020 Section 2(14)?	Available for inspection	Yes/No		Yes	X
23	Does the system have a written procedure for issuing a boil water advisory and for issuing a boil water notice?	Available for inspection	Yes/No		Yes	X
24	Does the system prohibit new connections where pressure on the discharge side of the meter will be less than 30 psi?		Yes/No		Yes	X
25	Does the system maintain records for water main failures in accordance with KAR 8:150 Section 4?	Available for inspection	Yes/No		Yes	X
26	Does the system have an asset management program that includes replacement and renewal?		Yes/No		Yes	
Customer Service						
27	Does the system provide 24-hour emergency response?		Yes/No		Yes	X
28	Does the system have established business hours for customers to contact the system?		Yes/No		Yes	X
29	Does the system log customer complaints and track resolution?	Available for inspection	Yes/No		Yes	
30	Does the system have a written plan in place to address all customer complaints?	Available for inspection	Yes/No		Yes	
31	Does the system notify customers prior to performing scheduled maintenance?		Yes/No		Yes	X
32	Does the system have a written policy governing water main extensions?	Available for inspection	Yes/No		Yes	X
33	Does the system have rules and regulations governing the provision of service?	Available for inspection	Yes/No		Yes	X
34	Does the system make available in a public place the rules, rates, and regulations?	Available for inspection	Yes/No		Yes	X